

## DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: HER-2/NEU FUSION PROTEINS the specification of which \_\_\_\_\_ is attached hereto or X was filed on January 28, 2000 as Application No. 09/493,480 and was amended on \_\_\_\_\_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

| Application No. | Filing Date |
|-----------------|-------------|
| 60/117,976      | 01/29/99    |

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| Application No. | Date of Filing | Status |
|-----------------|----------------|--------|
|                 |                |        |

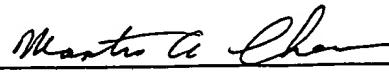
|                          |   |   |  |
|--------------------------|---|---|--|
| Full Name of Inventor 1: | Last Name:<br><b>CHEEVER</b>                | First Name:<br><b>MARTIN</b>                | Middle Name or Initial:<br><b>A.</b>                             |
| Residence & Citizenship: | City:<br><b>Mercer Island</b>               | State/Foreign Country:<br><b>Washington</b> | Country of Citizenship:<br><b>USA</b>                            |
| Post Office Address:     | Post Office Address:<br><b>6210 SE 22nd</b> | City:<br><b>Seattle</b>                     | State/Country:<br><b>Washington</b> Postal Code:<br><b>98040</b> |

|                          |  |  |  |
|--------------------------|--|--|--|
| Full Name of Inventor 2: | Last Name:<br><b>GHEYSEN</b>                         | First Name:<br><b>DIRK</b>               | Middle Name or Initial:  |
| Residence & Citizenship: | City:<br><b>Rixensart</b>                            | State/Foreign Country:<br><b>Belgium</b> | Country of Citizenship:<br><b>BELGIUM</b>                      |
| Post Office Address:     | Post Office Address:<br><b>89, Rue de L'Institut</b> | City:<br><b>Rixensart</b>                | State/Country:<br><b>Belgium</b> Postal Code:<br><b>B-1330</b> |

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Express Mail No.  
EL 827035155 US

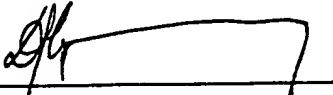
Signature of Inventor 1



Martin A. Cheever

Date 5/4/00

Signature of Inventor 2



Dirk Gheysen

Date 28 April 2000

SF 1063331 v1

POWER OF ATTORNEY BY ASSIGNEE

Corixa Corporation is the Assignee of the invention entitled: HER2/NEU FUSION PROTEINS the specification of which        is attached hereto or X was filed on January 28, 2000 as Application Serial No. 09/493,480.

Assignee hereby appoints the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Annette S. Parent, Reg. No. 42,058  
Kevin L. Bastian, Reg. No. 34,774  
Kathleen L. Choi, Reg. No. 43,433  
Eugenia Garrett-Wackowski, Reg. No. 37,330

|   |  |
|---|--|
| Send Correspondence to:<br>Annette S. Parent<br>TOWNSEND and TOWNSEND and CREW LLP<br>Two Embarcadero Center, 8 <sup>th</sup> Floor<br>San Francisco, CA 94111-3834 | Direct Telephone Calls to:<br>(Name, reg. no., tele. no.)<br><br>Annette S. Parent<br>Reg. No.: 42,058<br>(415) 576-0200 |
|---|--|

Corixa Corporation

Date: 14 June 00

By: Kathleen M. McFerigan  
(Signature)

Name: Kathleen M. McFerigan

Title: VP, General Counsel

1085783

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicant: Martin A. Cheever

Application No.: 09/493,480 Filed: January 28, 2000

For: HER2/NEU FUSION PROTEINS

Corixa Corporation a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is assignee of the patent application identified above by virtue of either:

- A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame(s) \_\_\_\_, or for which a copy thereof is attached.

OR

- B.  A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 14 June 00  
Name : Kathleen McKereghan  
Title : VP, General Counsel  
Signature: Kathleen McKereghan

POWER OF ATTORNEY BY ASSIGNEE

SmithKline Beecham Biologicals S.A. is the Assignee of the invention entitled: HER2/NEU FUSION PROTEINS the specification of which        is attached hereto or X was filed on January 28, 2000 as Application Serial No. 09/493,480.

Assignee hereby appoints the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Annette S. Parent, Reg. No. 42,058  
Kevin L. Bastian, Reg. No. 34,774  
Kathleen L. Choi, Reg. No. 43,433  
Eugenia Garrett-Wackowski, Reg. No. 37,330

|   |  |
|---|--|
| Send Correspondence to:<br>Annette S. Parent<br>TOWNSEND and TOWNSEND and CREW LLP<br>Two Embarcadero Center, 8 <sup>th</sup> Floor<br>San Francisco, CA 94111-3834 | Direct Telephone Calls to:<br>(Name, reg. no., tele. no.)<br><br>Annette S. Parent<br>Reg. No.: 42,058<br>(415) 576-0200 |
|---|--|

SmithKline Beecham Biologicals S.A.

Date: 13th July 2000

By: Jean Stephenne  
(Signature)

Name: Jean STEPHENNE

Title: President and General Manager

1085803

Express Mail No.  
EL 827035155 US

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicant: Dirk Gheysen

Application No.: 09/493,480 Filed: January 28, 2000

For: HER2/NEU FUSION PROTEINS

SmithKline Beecham Biologicals S.A. a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is assignee of the patent application identified above by virtue of either:

- A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame(s) \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B.  A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 17 July 2000  
Name : Jean Stephenne  
Title : President & General Manager  
Signature: [Signature]

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT  
Attorney Docket No.: 014058-009810US

U.S. Patent and Trademark Office  
Assignment Division  
Box Assignments CG-4  
1213 Jefferson Davis Highway, Suite 320  
Washington, D.C. 20231

On DECEMBER 4, 2000

TOWNSEND and TOWNSEND and CREW LLP

By: Sharen Savino

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Cheever *et al.*

Application No.: 09/493,480

Filed: January 28, 2000

For: HER-2/NEU FUSION PROTEINS

Examiner: Not yet assigned

Art Unit: 1646

**REQUEST FOR CORRECTION OF  
RECORDATION OF ASSIGNMENT**

U.S. Patent and Trademark Office  
Assignment Division  
Box Assignments CG-4  
1213 Jefferson Davis Highway, Suite 320  
Washington, D.C. 20231

Sir:

This is a request for a corrected Recordation of Assignment in the above-identified patent application due to the Applicants' error. Enclosed are copies of the Recordation of Assignment, the Recordation Form Cover Sheet (as filed with the Assignment) and Assignments in the above-identified patent application.

There is an error in that the date of the assignment signed by Dirk Gheysen should be July 11, 2000.

011121/0145 PAGE 2

ANTIONE ROYALL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



014-08-009810US  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

NOVEMBER 22, 2000

PTAS

TOWNSEND AND TOWNSEND AND CREW LLP  
ANNETTE S. PARENT, ESQ.  
TWO EMBARCADERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834



\*101479493A\*

*AS Parent*  
**COPY**

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/03/2000

REEL/FRAME: 011121/0145  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:  
CHEEVER, MARTIN A.

DOC DATE: 06/13/2000

ASSIGNEE:  
GHEYSEN, DIRK

DOC DATE: 06/11/2000  
07/11/2000

ASSIGNEE:  
CORIXA CORPORATION  
1124 COLUMBIA STREET  
SUITE 200  
SEATTLE, WASHINGTON 98104

ASSIGNEE:  
SMITHKLINE BEECHAM BIOLOGICALS  
S.A.  
89, RUE DE L'INSTITUT  
RIXENSART, BELGIUM B-1330

SERIAL NUMBER: 09493480  
PATENT NUMBER:

FILING DATE: 01/28/2000  
ISSUE DATE:

00 NOV 29 2000 10:58  
RECEIVED  
U.S. PATENT AND TRADEMARK OFFICE

Express Mail No.  
EL 827035155 US

10-04-2000

G-3-60  
y Docket No. 014058-009810USFORM PTO-1595  
(Rev. 6-93)

To the Honorable Asst. Commissioner for Patents. Please record.

## 1. Name of conveying party(ies):

Martin A. Cheever  
Dirk GheysenAdditional name(s) of conveying parties attached?  Yes  
 No.

## 3. Nature of conveyance:

- Assignment     Merger  
 Security Agreement     Change of Name  
 Other:

JULY 11, 2000

Execution Date: June 13, 2000 and June 11, 2000

## 4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.: 09/493,480

B. Patent No(s):

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: ANNETTE S. PARENT, ESQ.  
 TOWNSEND AND TOWNSEND AND CREW LLP  
 Two Embarcadero Center, 8<sup>th</sup> Floor  
 San Francisco, California 94111-3834  
 (415) 576-0200

## 6. Total number of applications and patents involved: One

7. Total fee (37 CFR 3.41): \$40.00

 Enclosed     Charge Fees to Deposit Account Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.

Annette S. Parent  
Name of Person Signing

Atty Reg. No. 42,058

Signature

Date

Total number of pages including cover sheet, attachments and document 5

10. Change Correspondence Address to that of Part 5?  Yes  No

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

Mail documents to be recorded with required cover to:

Asst. Commissioner for Patents  
 Box: Assignments  
 Washington, D.C. 20231

10/04/2000 MTHAI1 00000044 201430 09493480  
 01 FC:581 40.00 CH